

Model State Plan(CSBG)

Program Name: Community Services Block Grant

Grantee Name: FLORIDA

Report Name: Model State Plan(CSBG)

Report Period: 10/01/2017 to 09/30/2018


Report Status: Submission Accepted by CO

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CSBG Cover Page (SF-424M)

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)		Form Approved OMB No: 0970-0382 Expires:08/31/2016	
COVER PAGE			
* 1.a. Type of Submission: Plan	* 1.b. Frequency: Annual	* 1.c. Consolidated Application/Plan/Funding Request? Explanation: 2. Date Received: 3. Applicant Identifier: 4a. Federal Entity Identifier: 4b. Federal Award Identifier:	* 1.d. Version: Initial State Use Only: 5. Date Received By State: 6. State Application Identifier:
7. APPLICANT INFORMATION			
* a. Legal Name: Florida Department of Economic Opportunity			
* b. Employer/Taxpayer Identification Number (EIN/TIN): 36-4-76134		* c. Organizational DUNS: 968930664	
* d. Address:			
* Street 1:	107 East Madison Street	* Street 2:	MSC-400
* City:	Tallahassee	* County:	Leon
* State:	FL	* Province:	
* Country:	United States	* Zip / Postal Code:	32399 -
* e. Organizational Unit:			
Department Name: Division of Community Development		Division Name: Bureau of Economic Self-Sufficiency	
* f. Name and contact information of person to be contacted on matters involving this application:			
Prefix:	* First Name: Debbie	Middle Name:	* Last Name: Smiley
Suffix:	Title: Chief, Bureau of Economic Self-Suff	Organizational Affiliation:	
* Telephone Number: (850) 717-8467	Fax Number:	* Email: Debbie.Smiley@Deo.Myflorida.com	
* 8a. TYPE OF APPLICANT: A: State Government			
* b. Additional Description:			
* 9. Name of Federal Agency:			
		Catalog of Federal Domestic Assistance Number:	CFDA Title:
10. CFDA Numbers and Titles		93569	Community Services Block Grant
11. Descriptive Title of Applicant's Project Community Services Block Grant Program			
12. Areas Affected by Funding: Statewide			
13. CONGRESSIONAL DISTRICTS OF:			
* a. Applicant 2		* b. Program/Project: 2	
Attach an additional list of Program/Project Congressional Districts if needed.			
14. FUNDING PERIOD:		15. ESTIMATED FUNDING:	
a. Start Date:	b. End Date:	* a. Federal (\$):	b. Match (\$):

		\$0	\$0
* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?			
a. This submission was made available to the State under the Executive Order 12372			
Process for Review on :			
b. Program is subject to E.O. 12372 but has not been selected by State for review.			
c. Program is not covered by E.O. 12372.			
* 17. Is The Applicant Delinquent On Any Federal Debt?			
<input type="radio"/> YES <input checked="" type="radio"/> NO			
Explanation:			
18. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)			
**I Agree <input checked="" type="checkbox"/>			
** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.			
18a. Typed or Printed Name and Title of Authorized Certifying Official		18c. Telephone (area code, number and extension)	
		18d. Email Address	
18b. Signature of Authorized Certifying Official		18e. Date Report Submitted (Month, Day, Year)	
		09/01/2017	
Attach supporting documents as specified in agency instructions.			

Section 1: CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter

<p>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)</p>	<p>Form Approved OMB No:0970-0382 Expires:08/31/2016</p>		
<p>SECTION 1 CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter</p>			
<p>1.1. Provide the following information in relation to the lead agency designated to administer CSBG in the State, as required by Section 676(a) of the CSBG Act. <i>The following information should mirror the information provided on the Application for Federal Assistance, SF-424M.</i></p>			
1.1a. Lead agency	Florida Department of Economic Opportunity		
1.1b. Cabinet or administrative department of this lead agency <i>[Check one option and narrative where applicable]</i>			
Other, describe Economic Development			
1.1c. Division, bureau, or office of the CSBG authorized official	Executive Director		
1.1d. Authorized official of lead agency	Theresa 'Cissy' Proctor		
1.1e. Street Address	107 East Madison Street, MDC-400		
1.1f. City	Tallahassee	1.1g. State FL	1.1h. Zip 32399
1.1i. Telephone number and extension (850) 717 - 8507 ext.		1.1j. Fax number: (850) 488 - 2488	
1.1k. Email address Executive.Director@deo.myflorida.com		1.1l. Lead agency website http://www.floridajobs.org/	
1.2. Provide the following information in relation to the designated State CSBG point of contact			
1.2a. Agency name	Florida Department of Economic Opportunity		
1.2b. Name of the point of contact	Debbie Smiley		
1.2c. Street address	107 East Madison Street, MSC-400		
1.2d. City	Tallahassee	1.2e. State FL	1.2f. Zip 32399
1.2g. Point of contact telephone number (850) 717 - 8467 ext.		1.2h. Fax number (850) 488 - 2488	
1.2i. Point of contact email address Debbie.Smiley@Deo.Myflorida.com		1.2j. Point of contact agency website http://www.floridajobs.org/	
1.3. Designation Letter: <i>Attach the State's official CSBG designation letter. If either the governor or designated agency has changed, update the letter accordingly.</i>			

Section 2: State Legislation and Regulation

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

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SECTION 2 State Legislation and Regulation

2.1. CSBG State Legislation:

Does the State have a statute authorizing CSBG? Yes No

2.2. CSBG State Regulation:

Does the State have regulations for CSBG? Yes No

2.3. If yes was selected in item 2.1 and/or 2.2, attach a copy (or copies) of legislation and/or regulations or provide a hyperlink(s), as appropriate.

2.4. State Authority:

Select a response for each question about the State statute and/or regulations authorizing CSBG:

2.4a. Did the State legislature enact authorizing legislation, or amendments to an existing authorizing statute, last year? Yes No

2.4b. Did the State establish or amend regulations for CSBG last year? Yes No

2.4c. Does the State statutory or regulatory authority designate the bureau, division, or office in the State government that is to be the State administering agency? Yes No

Section 3: State Plan Development and Statewide Goals

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)**

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SECTION 3 State Plan Development and Statewide Goals

3.1. CSBG Lead Agency Mission and Responsibilities:

Briefly describe the mission and responsibilities of the State agency that serves as the CSBG Lead Agency.

The Florida Department of Economic Opportunity (DEO) is responsible for administering the Florida CSBG program in accordance with Public Law 97-35, as amended. In collaboration with DEO's partners, DEO assists the Governor in advancing Florida's economy by championing the state's economic development vision and by administering state and federal programs and initiatives to help visitors, citizens, businesses and communities. As the designated lead agency to administer the Florida CSBG Program, it is DEO's responsibility to do so in accordance with Public Law 97 35, as amended. DEO's administrative responsibility for the Community Services Block Grant Program is assigned to the Bureau of Economic Self Sufficiency within the Division of Community Development. The bureau administers the Community Services Block Grant Program, the Low-Income Home Energy Assistance Program, the Weatherization Assistance Program and the Weatherization Assistance Program/Low Income Home Energy Assistance Program.

3.2. State Plan Goals:

Describe the State's CSBG-specific goals for State administration of CSBG under this State Plan.

(Note: This item is associated with State Accountability Measure 1Sa(i) and may pre-populate the State's Annual Report form.)

Goal 1: All of Florida's communities will have access to Community Services Block Grant (CSBG) program funds and services through a network of CSBG eligible entities. Goal 2: DEO will support CSBG eligible entities to strengthen their capacity for planning, coordinating, and reporting on their response to the needs and conditions of their communities in the elimination of poverty through a series of one-day workshops focused on using the full Results Oriented Management and Accountability (ROMA) Cycle. Goal 3: The Florida CSBG Office will coordinate with the Division of Workforce Services to implement a pilot program showcasing shared resources and common intake. The Integrated Services Pilot Project is designed to support the development and implementation of local multi-disciplinary workforce training strategies that will improve employment outcomes for low-income individuals. The pilot will be implemented in a select Local Workforce Development Board area, in collaboration with the designated Community Action Agency. The pilot project will utilize innovative and systematic approaches that will address barriers to employment for low-income individuals through joint case management, targeted workforce training and support services. The goal is to increase opportunities available for low-income individuals to become self-sufficient and decrease their reliance on public assistance.

3.3. State Plan Development:

Indicate the information and input the State accessed to develop this State Plan.

3.3a. Analysis of *[Check all that apply and narrative where applicable]*

- State Performance Indicators and/or National Performance Indicators (NPIs)
- U.S. Census data
- State performance management data *(e.g., accountability measures, ACSI survey information, and/or other information from annual reports)*
- Other data *[describe]*
- Eligible entity community needs assessments
- Eligible entity plans
- Other information from eligible entities *(e.g., State required reports) [describe]*

Comments from eligible entities during state plan workshops

3.3b. Consultation with *[Check all that apply and narrative where applicable]*

- Eligible entities *(e.g. meetings, conferences, webinars; not including the public hearing)*
- State community action association and regional CSBG T&TA providers
- State partners and/or stakeholders *(describe)* Division of Workforce Services
- National organizations *(describe)* National Association for State Community Services Programs, Community Action Partnership
- Federal Office of Community Services
- Other *(describe)*

3.4. Eligible Entity Involvement

3.4a. Describe the specific steps the State took in developing the State Plan to involve the eligible entities.

(Note: This information is associated with State Accountability Measures 1Sa(ii) and may pre-populate the State's annual report form)

On May 9, 2017, DEO conducted a pre-conference training event at the Florida Association for Community Action (FACA) annual conference which CSBG eligible entities attended. One session was a review of the draft FFY 2018 Model State Plan. Eligible entities in attendance had the opportunity to provide suggestions and comments on the plan, specifically on the statewide goals and training needs of the network. DEO will also conduct a formal public hearing.

If this is the first year filling out the automated State Plan, skip the following question.

3.4b. Performance Management Adjustment:

How has the State adjusted State Plan development procedures under this State Plan, as compared to past plans, in order

- 1) to encourage eligible entity participation and
- 2) to ensure the State Plan reflects input from eligible entities?

Any adjustment should be based on the State's analysis of past performance in these areas, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

(Note: This information is associated with State Accountability Measures 1Sb(i) and (ii) and may pre-populate the State's annual report form)

Since 2015, DEO has provided this type of additional opportunity for more targeted input on the state plan prior to the formal public hearing. Comments from the eligible entities after the May 2017 workshop are incorporated into the state plan where applicable, with all comments and DEO's response made available during the formal public hearing.

If this is the first year filling out the automated State Plan, skip the following question.

3.5. Eligible Entity Overall Satisfaction:

Provide the State's *target* for eligible entity Overall Satisfaction during the performance period: **75**

(Note: Item 3.5 is associated with State Accountability Measure 8S and may pre-populate the State's annual report form)

Section 4: CSBG Hearing Requirements^Â

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)	Form Approved OMB No: 0970-0382 Expires:08/31/2016		
SECTION 4 CSBG Hearing Requirements			
4.1. Public Inspection: Describe how the State made this State Plan, or revision(s) to the State Plan, available for public inspection, as required under Section 676(e)(2) of the Act.			
Statewide notice of the public hearing was published in the July 6, 2017 edition of the Florida Administrative Register (FAR). Notices and the draft Model State Plan were emailed to all eligible entities and other interested parties. The public notice and plan were posted to DEO's website for public inspection and comment.			
4.2. Public Notice/Hearing: Describe how the State ensured there was sufficient time and statewide distribution of notice of the public hearing(s) to allow the public to comment on the State Plan, as required under Section 676(a)(2)(B) of the CSBG Act.			
Copies of the draft plan were made available prior to and during the public hearing held on Friday, July 21, 2017, in Tallahassee, Florida. Comments could be submitted orally at the hearing and in writing until close of business on Monday, August 7, 2017. In addition, the initial draft plan was shown to and discussed with the eligible entities during the state association annual conference. A summary of comments received during the public hearing and the initial state plan discussion are attached.			
4.3. Public and Legislative Hearings: Specify the date(s) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State Plan, as required under Section 676(a)(2)(B) and Section 676(a)(3) of the Act. <i>(If the State has not held a public hearing in the prior fiscal year and/or a legislative hearing in the last three years, provide further detail under Item 4.4).</i>			
	Date	Location	Type of Hearing <small>[Select an option]</small>
1	07/21/2017	Caldwell Building, Tallahassee, Florida	Public
4.4. Attach supporting documentation or a hyperlink for the public and legislative hearings. See attached public notice, agenda and meeting minutes.			

Section 5: CSBG Eligible Entities

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SECTION 5 CSBG Eligible Entities

5.1. CSBG Eligible Entities:

In the table below, list each eligible entity in the State, and indicate public or private, the type(s) of entity, and the geographical area served by the entity. (This table should include every CSBG Eligible Entity to which the State plans to allocate 90 percent funds, as indicated in the table in item 7.2. Do not include entities that only receive remainder/discretionary funds from the State or tribes/tribal organizations that receive direct funding from OCS under Section 677 of the CSBG Act.)

Types of Entities include Community Action Agency, Limited Purpose Agency, Local Government Agency, Migrant or Seasonal Farmworker Organization, Tribe or Tribal Organization, and Other

#	CSBG Eligible Entity	Public or Nonprofit	Type of Agency [choose all that apply]	Geographical Area Served by county (Provide all counties)	Brief Description of "Other"
1	The Agricultural and Labor Program, Inc.	Nonprofit	Community Action Agency (CAA)	Hendry County, Highlands County, Polk County, Glades County	
2	Brevard County	Public	Local Government Agency	Brevard County	
3	Broward County	Public	Local Government Agency	Broward County	
4	Capital Area Community Action Agency, Inc.	Nonprofit	Community Action Agency (CAA)	Calhoun County, Franklin County, Gadsden County, Gulf County, Jefferson County, Leon County, Liberty County, Wakulla County	
5	Central Florida Community Action Agency, Inc.	Nonprofit	Community Action Agency (CAA)	Alachua County, Levy County, Marion County	
6	Charlotte County	Public	Local Government Agency	Charlotte County	
7	Coalition of Florida Farmworker Organizations, Inc.	Nonprofit	Migrant or Seasonal Farmworker Organization	Miami-Dade County, Statewide (Farmworker Population)	
8	Community Action Program Committee, Inc.	Nonprofit	Community Action Agency (CAA)	Escambia County	
9	Economic Opportunities Council of Indian River County, Inc.	Nonprofit	Community Action Agency (CAA)	Indian River County	
10	Hillsborough County	Public	Local Government Agency	Hillsborough County	
11	Immokalee Multicultural Multipurpose Community Action Agency	Nonprofit	Community Action Agency (CAA)	Collier County	
12	Lake Community Action Agency, Inc.	Nonprofit	Community Action Agency (CAA)	Lake County	
13	Lee County	Public	Local Government Agency	Lee County	
14	Manatee Community Action Agency, Inc.	Nonprofit	Community Action Agency (CAA)	Desoto County, Hardee County, Manatee County	
15	Miami-Dade County	Public	Local Government Agency	Miami-Dade County	
16	Northeast Florida Community Action Agency, Inc.	Nonprofit	Community Action Agency (CAA)	Baker County, Clay County, Duval County, Flagler County, Nassau County, Putnam County, St. Johns County	
17	Orange County	Public	Local Government Agency	Orange County	
18	Osceola County Council on Aging, Inc.	Nonprofit	Community Action Agency (CAA)	Osceola County	Also a designated Council on Aging
19	Palm Beach County	Public	Local Government Agency	Palm Beach County	
20	Pinellas Opportunity Council, Inc.	Nonprofit	Community Action Agency (CAA)	Pinellas County	
21	St. Lucie County	Public	Local Government Agency	Martin County, Okeechobee County, St. Lucie County	d/b/a Treasure Coast Community Action Agency

22	Sarasota County	Public	Local Government Agency	Sarasota County	
23	Seminole County	Public	Local Government Agency	Seminole	
24	Suwannee River Economic Council, Inc.	Nonprofit	Community Action Agency (CAA)	Bradford County, Columbia County, Dixie County, Gilchrist County, Hamilton County, Lafayette County, Madison County, Suwannee County	
25	Tri-County Community Council, Inc.	Nonprofit	Community Action Agency (CAA)	Bay County, Holmes County, Jackson County, Okaloosa County, Santa Rosa County, Walton County, Washington County	
26	Volusia County	Public	Community Action Agency (CAA)	Volusia County	
27	Mid Florida Community Services, Inc.	Nonprofit	Community Action Agency (CAA)	Citrus County, Hernando County, Pasco County, Sumter County	

5.2 Total number of CSBG eligible entities 27

5.3 Changes to Eligible Entities List:

Has the list of eligible entities under item 5.1 changed since the State's last State Plan submission? Yes No

If yes, please briefly describe the changes.

Section 6: Organizational Standards for Eligible Entities

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
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SECTION 6 Organizational Standards for Eligible Entities

Note: Reference IM 138, *State Establishment of Organizational Standards for CSBG Eligible Entities*, for more information on Organizational Standards. Click [HERE](#) for IM 138.

6.1. Choice of Standards:

Check the box that applies. If using alternative standards

- a) attach the complete list of alternative organizational standards,
- b) describe the reasons for using alternative standards, and
- c) describe how the standards are at least as rigorous as the COE-developed standards.

The State will use the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138)

6.2. If the State is using the COE-developed organizational standards, does the State propose making a minor modification to the standards, as described in IM 138? Yes No

6.2a. If yes was selected in item 6.2, describe the State's proposed minor modification to the COE-developed organizational standards, and provide a rationale.

6.3 How will/has the State officially adopt(ed) organizational standards for eligible entities in the State in a manner consistent with the State's administrative procedures act? If "Other" is selected, provide a timeline and additional information, as necessary. [Check all that apply and narrative where applicable]

Regulation

Policy

Contracts with eligible entities

Other, describe:

6.4. How will the State assess eligible entities against organizational standards, as described in IM 138?[Check all that apply.]

Peer-to-peer review (with validation by the State or State-authorized third party)

Self-assessment (with validation by the State or State-authorized third party)

Self-assessment/peer review with State risk analysis

State-authorized third party validation

Regular, on-site CSBG monitoring

Other

6.4a. Describe the assessment process.

Florida's Assessment Plan: Florida's CSBG eligible entities (CEEs) will submit annually the Community Action Plan and all supporting documentation for the standards by November 15 of each year. DEO will conduct a review of the documentation and issue one of the following reports annually by February 1: A Technical Assistance Plan for any CEE not meeting a standard for the first time, or a Quality Improvement Plan for any CEE not meeting a standard which was also not met in the year(s) prior. In addition to the annual review of all documentation, DEO staff will review the full supporting documentation for all standards during the on-site monitoring review and note any deficiencies in the monitoring report.

6.5. Will the State make exceptions in applying the organizational standards for any eligible entities due to special circumstances or organizational characteristics, as described in IM 138 Yes No

6.5a. If yes was selected in item 6.5, list which eligible entities the State will exempt from meeting organizational standards, and provide a description and a justification for each exemption.

If this is the first year filling out the automated State Plan, skip the following question.

6.6. Performance Target: What percentage of eligible entities in the State does the State expect will meet all the State-adopted organizational standards in the next year? (Provide as a percentage) 90%

Note: This information is associated with State Accountability Measures 6Sa and may prepopulate the State's annual report form.

Section 7: State Use of Funds

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
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SECTION 7 State Use of Funds

Eligible Entity Allocation (90 Percent Funds) [Section 675C(a) of the CSBG Act]

7.1. Formula:

Select the method (formula) that best describes the current practice for allocating CSBG funds to eligible entities.

Formula Alone

7.1a. Does the State statutory or regulatory authority specify the terms or formula for allocating the 90 percent funds among eligible entities?

Yes No

7.2. Planned Allocation:

Specify the planned allocation of 90 percent funds to eligible entities, as described under Section 675C(a) of the CSBG Act.

The estimated allocations may be in dollars or percentages. For each eligible entity receiving funds, provide the Funding Amount in either dollars (columns 2 and 4) or percentage (columns 3 and 5) for the fiscal years covered by this plan.

Planned CSBG 90 Percent Funds

	CSBG Eligible Entity	Year One Funding Amount \$	Year One Funding Amount %	Year Two Funding Amount \$	Year Two Funding Amount %
1	The Agricultural and Labor Program, Inc.	\$1,060,851	0.00%	\$0	0.00%
2	Brevard County	\$254,114	0.00%	\$0	0.00%
3	Broward County	\$1,255,196	0.00%	\$0	0.00%
4	Capital Area Community Action Agency, Inc.	\$617,771	0.00%	\$0	0.00%
5	Central Florida Community Action Agency, Inc.	\$599,139	0.00%	\$0	0.00%
6	Charlotte County	\$78,005	0.00%	\$0	0.00%
7	Coalition of Florida Farmworker Organizations, Inc.	\$577,987	0.00%	\$0	0.00%
8	Community Action Program Committee, Inc.	\$415,677	0.00%	\$0	0.00%
9	Economic Opportunities Council of Indian River County, Inc.	\$224,984	0.00%	\$0	0.00%
10	Hillsborough County	\$1,714,592	0.00%	\$0	0.00%
11	Immokalee Multicultural Multipurpose Community Action Agency	\$160,631	0.00%	\$0	0.00%
12	Lake Community Action Agency, Inc.	\$249,803	0.00%	\$0	0.00%
13	Lee County	\$279,527	0.00%	\$0	0.00%
14	Manatee Community Action Agency, Inc.	\$431,369	0.00%	\$0	0.00%
15	Miami-Dade County	\$3,037,837	0.00%	\$0	0.00%
16	Northeast Florida Community Action Agency, Inc.	\$1,809,384	0.00%	\$0	0.00%
17	Orange County	\$769,351	0.00%	\$0	0.00%
18	Osceola County Council on Aging, Inc.	\$206,973	0.00%	\$0	0.00%
19	Palm Beach County	\$972,941	0.00%	\$0	0.00%
20	Pinellas Opportunity Council, Inc.	\$876,577	0.00%	\$0	0.00%
21	St. Lucie County	\$309,396	0.00%	\$0	0.00%
22	Sarasota County	\$176,076	0.00%	\$0	0.00%
23	Seminole County	\$263,272	0.00%	\$0	0.00%
24	Suwannee River Economic Council, Inc.	\$400,449	0.00%	\$0	0.00%

25	Tri-County Community Council, Inc.	\$651,112	0.00%	\$0	0.00%
26	Volusia County	\$476,369	0.00%	\$0	0.00%
27	Mid Florida Community Services, Inc.	\$685,559	0.00%	\$0	0.00%
Total		\$18,554,942	0.00%	\$0	0.00%

7.3. Distribution Process:

Describe the specific steps in the State's process for distributing 90 percent funds to the eligible entities and include the number of days each step is expected to take; include information about State legislative approval or other types of administrative approval (such as approval by a board or commission).

Step 1: For FFY 2018, the grant will begin April 1, 2018, with the current FFY 2017 grants ending March 31, 2018. The grant will be for 12 months, ending March 31, 2019. The award amount is estimated based on the anticipated FFY 2018 federal award (60 days). Step 2: As quarterly allotments are awarded to DEO, DEO will release additional funds to each eligible entity via a notice of funds availability, allowing the entities to incur additional costs. This process will ensure funds are regularly made available to eligible entities after OCS distributes the quarterly federal award (30-45 days). Step 3: Upon closing the FFY 2017 grant awards, DEO will re-obligate any carryover funding to each eligible entity with de-obligated funds through a modification to the FFY 2018 grant award (60 days).

7.4. Distribution Timeframe:

Does the State plan to make funds available to eligible entities no later than 30 calendar days after OCS distributes the Federal award? Yes No

7.4a. If no, describe State procedures to ensure funds are made available to eligible entities consistently and without interruption.

Note: Item 7.4 is associated with State Accountability Measure 2Sa and may prepopulate the State's annual report form.

Florida's distribution of funds is set to ensure consistent and uninterrupted availability of funds to all eligible entities (See the Distribution Process described in Section 7.3). As OCS awards quarterly allotments, DEO will release additional funds to each eligible entity via a notice of funds availability within 30-45 days, allowing the entities to incur additional costs. This process will ensure funds are regularly made available to eligible entities after OCS distributes the quarterly Federal award. Florida will continue to make reimbursements on a monthly basis.

If this is the first year filling out the automated State Plan, skip the following question.

7.5. Performance Management Adjustment:

How is the State improving grant and/or contract administration procedures under this State Plan as compared to past plans? Any improvements should be based on analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any improvements, provide further detail.

Note: This information is associated with State Accountability Measure 2Sb and may prepopulate the State's annual report form.

DEO streamlined the contracting and award process for the FFY 2017 grant year (and beyond), removing lengthy budgets and workplans from the grant agreement, providing eligible entities increased flexibility to cost-shift funds as needed and adjust workplans to meet the needs of their service areas.

Administrative Funds [Section 675C(b)(2) of the CSBG Act]

7.6. What amount of State CSBG funds does the State plan to allocate for administrative activities, under this State plan? The estimate may be in dollars or a percentage 5 \$ %

7.7. How many State staff positions will be funded in whole or in part with CSBG funds under this State Plan? 8

7.8. How many State Full Time Equivalents (FTEs) will be funded with CSBG funds under this State Plan? 8

Remainder/Discretionary Funds [Section 675C(b) of the CSBG Act]

7.9. Does the State have remainder/discretionary funds? Yes No

If yes was selected, describe how the State plans to use remainder/discretionary funds in the table below.

Note: This response will link to the corresponding assurance, Item 14.2.

For each allowable use of remainder funds in the table below (rows a through h), enter the State's planned level of funding, if any, either in dollars or percentage, and provide a brief description. Activities funded under row a, training and technical assistance, do not require a description, as that is provided under section 8 of this State plan. Activities funded under rows b and c, are described under section 9, State Linkages and Communication, but a State may enter additional information in this table as well. The State must describe "innovative programs/activities by eligible entities or other neighborhood groups," under row f, even if the State does not allocate discretionary funds to this activity. This activity is required by section 676(b)(2) of the CSBG Act, assurance 14.2 If a funded activity fits under more than one category in the table, allocate the funds among the categories. For example, if the State provides funds under a contract with the State Community Action association to provide training and technical assistance to eligible entities and to create a statewide data system, the funds for that contract should be allocated appropriately between row a and row c. If allocation is not possible, the State may allocate the funds to the main category with which the activity is associated.

Note: This information is associated with State Accountability Measures 3Sa and may pre-populate the State's annual report form

Use of Remainder/Discretionary Funds(SeeSection 675C(b)(1) of the CSBG Act)

Remainder/Discretionary Fund Uses	Year One Planned \$	Year One Planned %	Year Two Planned \$	Year Two Planned %	Brief description of services/activities
a. Training/technical assistance to eligible entities	\$225,000.00	0.00%	\$0.00	0.00%	
b. Coordination of State-operated programs and/or local programs	\$0.00	0.00%	\$0.00	0.00%	NA
c. Statewide coordination and					Coordinating with the Florida Association for Community Action to conduct statewide trainings for CEEs, as well as attending partnership meetings with Florida's Division of

communication among eligible entities	\$150,000.00	0.00%	\$0.00	0.00%	Workforce Development (WIOA partner), the Interagency Farmworker Focus Group, the Florida Head Start Association, and the Florida Weatherization Assistance Network.
d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0.00	0.00%	\$0.00	0.00%	NA
e. Asset-building programs	\$0.00	0.00%	\$0.00	0.00%	NA
f. Innovative programs/activities by eligible entities or other neighborhood groups	\$0.00	0.00%	\$0.00	0.00%	NA
g. State charity tax credits	\$0.00	0.00%	\$0.00	0.00%	NA
h. Other activities, specify in column 6	\$100,000.00	0.00%	\$0.00	0.00%	Set-aside to provide emergency farmworker assistance statewide in the event of a declared farmworker/agricultural emergency. These funds will only be used if there is a declared agricultural emergency. In the event no emergency is declared, the funds are rolled over into the next year's grant agreement with the farmworker agency to use for self-sufficiency and emergency services.
Total	\$475,000.00	0.00%	\$0.00	0.00%	

7.10. What types of organizations, if any, does the State plan to work with (by grant or contract using remainder/discretionary funds) to carry out some or all of the activities in table 7.9. [Check all that apply and narrative where applicable]

- CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds) **27**
- Other community-based organizations
- State Community Action association
- Regional CSBG technical assistance provider(s)
- National technical assistance provider(s)
- Individual consultant(s)
- Tribes and Tribal Organizations
- Other State Farmworker Organization
- None (the State will carry out activities directly)

Note: This response will link to the corresponding CSBG assurance, item 14.2.

If this is the first year filling out the automated State Plan, skip the following question.

7.11. Performance Management Adjustment:

How is the State adjusting the use of remainder/discretionary funds under this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

Note: This information is associated with State Accountability Measures 35b, and may pre-populate the State's annual report form.

Florida is adjusting the use of funds for FFY 2018 and to provide the Florida Association for Community Action with additional funds for conducting training and technical assistance to assist eligible entities report on ROMA Next Generation.

Section 8: State Training and Technical Assistance

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
OMB No: 0970-0382
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SECTION 8 State Training and Technical Assistance

8.1. Describe the State's plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below.

Add a row for each activity: indicate the timeframe; whether it is training, technical assistance or both; and the topic. (CSBG funding used for this activity is referenced under item 7.9(a), Remainder/Discretionary Funds.)

Note: This information is associated with State Accountability Measure 3Sc and may pre-populate the State's annual report form.

Training and Technical Assistance

	Fiscal Year (Y) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
1	FY1-Q1	Both	ROMA	One-day ROMA Workshops
2	FY1-Q2	Technical Assistance	Organizational Standards - General	
3	FY1-Q3	Both	Other	Training Conference for eligible entities
4	FY1-Q4	Both	Other	Ongoing T&TA as needed

8.1a. The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9) Year One \$225000 , Year Two \$0

If this is the implementation year for organizational standards, skip the following question.

8.2. Does the State have in place Technical Assistance Plans (TAPs) or Quality Improvement Plans (QIPs) for all eligible entities with unmet organizational standards that could be used if appropriate? Yes No

Note: This information is associated with State Accountability Measure 6Sb. QIPs are described in Section 678C(a)(4) of the CSBG Act. If the State, according to their corrective action procedures, does not plan to put a QIP in place for an eligible entity with one or more unmet organizational standards, the State should put a TAP in place to support the entity in meeting the standard(s).

Per the state's implementation plan for the Organizational Standards, eligible entities not meeting 100 percent of the standards for FFY 2017 were issued a Technical Assistance Plan March 5, 2017, with a due date for cure of June 30, 2017.

8.3. Indicate the types of organizations through which the State plans to provide training and/or technical assistance as described in item 8.1, and briefly describe their involvement [Check all that applies and narrative where applicable]

- CSBG eligible entities (if checked, provide the expected number of CSBG eligible entities to receive funds)
- Other community-based organizations
- State Community Action association
- Regional CSBG technical assistance provider(s)
- National technical assistance provider(s)
- Individual consultant(s)
- Tribes and Tribal Organizations
- Other State CSBG office

If this is the first year filling out the automated State Plan, skip the following question.

8.4. Performance Management Adjustment:

How is the State adjusting the training and technical assistance plan under this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

Note: This information is associated with State Accountability Measures 3Sd may pre-populate the State's annual report form

Florida is adjusting its T/TA plan under this State Plan to include additional training and technical assistance to entities on ROMA, as well as partnering with the state association to provide training as needed.

Section 9: State Linkages and Communication

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)**

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SECTION 9 State Linkages and Communication

Note: This section describes activities that the State may support with CSBG remainder/discretionary funds, described under Section 675C(b)(1) of the CSBG Act. The State may indicate planned use of remainder/discretionary funds for linkage/communication activities in Section 7, State Use of Funds, items 7.9(b) and (c).

9.1 State Linkages and Coordination at the State Level:

Describe the linkages and coordination at the State level that the State plans to create or maintain to ensure increased access to CSBG services to low-income people and communities under this State Plan and avoid duplication of services (as required by the assurance under Section 676(b)(5)).

Describe or attach additional information as needed. [Check all that apply and narrative where applicable]

Note: This response will link to the corresponding CSBG assurance, item 14.5. In addition, this item is associated with State Accountability Measure 7Sa and may pre-populate the State's annual report form.

- State Low Income Home Energy Assistance Program (LIHEAP) office
- State Weatherization office
- State Temporary Assistance for Needy Families (TANF) office
- State Head Start office
- State public health office
- State education department
- State Workforce Innovation and Opportunity Act (WIOA) agency
- State budget office
- Supplemental Nutrition Assistance Program (SNAP)
- State child welfare office
- State housing office
- Other

State farmworker office *[Click paper clip to attach file]*

9.2. State Linkages and Coordination at the Local Level:

Describe the linkages and coordination at the local level that the State and eligible entities plan to create or maintain to ensure increased access to CSBG services to low-income people and communities and avoid duplication of services, as described under Section 675C(b)(B) and as required by assurance under Sections 676(b)(5) of the CSBG Act. Attach additional information as needed.

Note: This response will link to the corresponding CSBG assurances, items 14.5 and 14.6.

Linkages and partnerships are fostered at the state level through presentations to and coordination with the Florida Association for Community Action, Inc. (FACA), HeadStart, the Interagency Farmworker Focus Group, and CareerSource Florida. *[Click paper clip to attach file]*

9.3. Eligible Entity Linkages and Coordination

9.3a State Assurance of Eligible Entity Linkages and Coordination:

Describe how the State will assure that the eligible entities will coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by the assurance under Section 676(b)(5)). [Attach additional information as needed.]

Note: This response will link to the corresponding CSBG assurance, item 14.5.

The grant award agreement requires eligible entities to show coordination and non-duplication of effort with other programs through the submission of their annual Community Action Plan. CSBG funds may also be used to sustain allowable programs funded by other sources, thus promoting coordination of effort. Under the requirements of the Workforce Innovation and Opportunity Act (WIOA), each eligible entity must maintain a Memorandum of Understanding with all local workforce development boards in their service area detailing cooperative workforce employment and training efforts, and actions that will be taken by both parties to assure the coordination of programs, including participation in the one-stop center. All CAAs will also be required to enter into an infrastructure funding agreement with local workforce development boards outlining the level of participation in the one-stop centers. *[Click paper clip to attach file]*

9.3b State Assurance of Eligible Entity Linkages to Fill Service Gaps:

Describe how the eligible entities will develop linkages to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations, according to the assurance under Section 676(b)(3)(B) of the CSBG Act.

Note: This response will link to the corresponding CSBG assurance, item 14.3b.

Through the award of CSBG funding to the 27 eligible entities in Florida, all are required to coordinate with other social service agencies in their area. This includes the local workforce development boards. DEO also monitors the eligible entities every two to three years on-site, including review of client files and case management practices to ensure they are providing needed services. As part of their grant award, the eligible entities must develop a work

plan that reflects their goals and anticipated outcomes consistent with the National Performance Indicators.

9.4. Workforce Innovation and Opportunity Act (WIOA) Employment and Training Activities:
Does the State intend to include CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the Workforce Innovation and Opportunity Act (as required by the assurance under Section 676(b)(5) of the CSBG Act)? Yes No

Note: This response will link to the corresponding CSBG assurance, item 14.5.

9.4a If the State selected "yes" under item 9.4, provide the CSBG-specific information included in the State's WIOA Combined Plan. This information includes a description of how the State and the eligible entities will coordinate the provision of employment and training activities through statewide and local WIOA workforce development systems. This information may also include examples of innovative employment and training programs and activities conducted by community action agencies or other neighborhood-based organizations as part of a community anti-poverty strategy.

9.4b. If the State selected "no" under item 9.4, describe the coordination of employment and training activities, as defined in Section 3 of WIOA, by the State and by eligible entities providing activities through the WIOA system.

Eligible entities are required to coordinate with other social service agencies in their area. This includes but is not limited to, local workforce development boards. In addition, DEO is the state workforce development agency and works with other divisions to forge partnerships and opportunities for linkages.

9.5. Emergency Energy Crisis Intervention:
Describe how the State will assure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to Low-Income Home Energy Assistance) are conducted in each community in the State, as required by the assurance under Section 676(b)(6) of the CSBG Act).

Note: This response will link to the corresponding CSBG assurance, item 14.6.

The CSBG Program, Low-Income Home Energy Assistance Program and Weatherization Assistance Program are located within the same division at DEO. This enables efficient coordination of services. The coordination requirement is passed to the eligible entities via the grant award agreement. Approximately one-third of the funded eligible entities in Florida are also Head Start providers. Of the 27 CSBG agencies, 21 also provide Low Income Home Energy Assistance Program (LHEAP) services, facilitating the coordination of these programs at the local level.

9.6. State Assurance: Faith-based Organizations, Charitable Groups, Community Organizations:
Describe how the State will assure local eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the State's assurance under Section 676(b)(9) of the CSBG Act.

Note: this response will link to the corresponding assurance, item 14.9.

DEO specifies this assurance in the grant award agreement and in the annual Community Action Plan. Eligible entities are required to report quarterly on the linkages established between governmental and other social services programs. In addition, when seeking new provider agencies for unserved areas, DEO requires the applicant entities to have an established connection with the community they serve via HeadStart, CareerSource Florida or other such partnerships. *[Click paper clip to attach file]*

9.7 Coordination of Eligible Entity 90 Percent Funds with Public/Private Resources:
Describe how the eligible entities will coordinate CSBG 90 percent funds with other public and private resources, according to the assurance under Section 676(b)(3)(C) of the CSBG Act.

Note: this response will link to the corresponding assurance, item 14.3c.

All eligible entities are required to coordinate with other social service agencies in their area. This information is provided annually in the Community Action Plan.

9.8. Coordination among Eligible Entities and State Community Action Association:
Describe State activities for supporting coordination among the eligible entities and the State Community Action Association.

Eligible entities may use administrative funds to pay for membership to the Florida Association for Community Action, as well as pay for travel to conferences, meetings and trainings. The state also partners with the state association to provide training and technical assistance free of charge.

9.9 Communication with Eligible Entities and the State Community Action Association:
In the table below, describe the State's plan for communicating with eligible entities, the State Community Action Association, and other partners under this State Plan. Include communication about annual hearings and legislative hearings, as described under Section 4, CSBG Hearing Requirements.

Communication Plan

	Topic	Expected Frequency	Format	Brief Description of "Other"
1	State Plan Workshop	Annually	Meetings/Presentation	
2	State Plan Public and Legislative Hearing	Annually	Meetings/Presentation	
3	CSBG Subgrant Agreement	Semi-Annually	Other	Email/Webinar
4	CSBG Program Policy	Other	Other	As needed via email, information memoranda, webinars, on-site trainings, etc.
5	Quarterly Conference Calls	Quarterly	Other	Conference calls

9.10. Feedback to Eligible Entities and State Community Action Association:
Describe how the State will provide feedback to local entities and State Community Action Associations regarding performance on State Accountability Measures.

Note: This information is associated with State Accountability Measure 5S(iii). The measure indicates feedback should be provided within 60 calendar days of the State getting feedback from OCS.

Florida will provide the necessary information and training to eligible entities regarding the state's performance under the State Accountability Measures through the sharing of the CSBG Annual Report. The state also provides the results of Florida's annual Information System Survey to the state association for analysis and distribution to the network.

If this is the first year filling out the automated State Plan, skip the following question.

9.11. Performance Management Adjustment:

How is the State adjusting the Communication Plan in this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

Note: This information is associated with [State Accountability Measures 7Sb](#); this response may pre-populate the State's annual report form.

Florida is adjusting its communication plan by adding quarterly conference calls as decided by a unanimous vote among agencies polled. The state plans to continue providing the above types of training and information dissemination to eligible entities for the coming year. The current communication plan has yielded successful results in informing the network about important policies, procedures and requirements.

Section 10: Monitoring, Corrective Action, and Fiscal Controls

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)**

Form Approved
OMB No: 0970-0382
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SECTION 10 Monitoring, Corrective Action, and Fiscal Controls

Monitoring of Eligible Entities (Section 678B(a) of the Act)

10.1. Specify the proposed schedule for planned monitoring visits - including full on-site reviews; on-site reviews of newly designated entities; follow-up reviews - including return visits to entities that failed to meet State goals, standards, and requirements; and other reviews as appropriate.

This is an estimated schedule to assist States in planning. States may indicate "no review" for entities the State does not plan to monitor in the performance period.

For States that have a monitoring approach that does not fit within the table parameters, attach the State's proposed monitoring schedule.

Note: This information is associated with State Accountability Measure 4Sa(i); this response may pre-populate the State's annual report form.

	CSBG Eligible Entity	Review Type	Target Date	Date of Last Full Onsite Review (if applicable)	Brief Description of "Other"
1	The Agricultural and Labor Program, Inc.	Full onsite	FY1 Q2	02/12/2016	
2	Brevard County	Full onsite	FY1 Q3	07/01/2016	
3	Broward County	No review		05/26/2017	
4	Capital Area Community Action Agency, Inc.	Full onsite	FY1 Q1	11/19/2015	
5	Central Florida Community Action Agency, Inc.	No review		06/30/2017	
6	Charlotte County	Full onsite	FY1 Q3	04/22/2016	
7	Coalition of Florida Farmworker Organizations, Inc.	No review		07/28/2017	
8	Community Action Program Committee, Inc.	Full onsite	FY1 Q2	02/05/2016	
9	Economic Opportunities Council of Indian River County, Inc.	Full onsite	FY1 Q1	10/02/2015	
10	Hillsborough County	No review		10/13/2016	
11	Immokalee Multicultural Multipurpose Community Action Agency	Full onsite	FY1 Q3	05/12/2016	
12	Lake Community Action Agency, Inc.	No review		12/16/2016	
13	Lee County	No review		06/23/2017	
14	Manatee Community Action Agency, Inc.	Full onsite	FY1 Q3	04/08/2016	
15	Miami-Dade County	Full onsite	FY1 Q3	06/17/2016	
16	Northeast Florida Community Action Agency, Inc.	Full onsite	FY1 Q1	05/01/2015	
17	Orange County	Full onsite	FY1 Q2	03/25/2016	
18	Osceola County Council on Aging, Inc.	No review		04/21/2017	
19	Palm Beach County	Full onsite	FY1 Q4	08/12/2016	
20	Pinellas Opportunity Council, Inc.	No review		03/03/2017	
21	St. Lucie County	No review		04/21/2017	
22	Sarasota County	Full onsite	FY1 Q1	09/02/2015	
23	Seminole County	Full onsite	FY1 Q2	01/29/2016	
24	Suwannee River Economic Council, Inc.	No review		08/18/2017	
	Tri-County Community Council,				

25	Inc.	No review		07/14/2017	
26	Volusia County	Full onsite	FY1 Q1	11/20/2015	
27	Mid Florida Community Services, Inc.	Full onsite	FY1 Q1	11/06/2015	

10.2. Monitoring Policies:

Provide a copy of State monitoring policies and procedures by attaching and/or providing a hyperlink.

See attached copy of DEO's monitoring field manual.

10.3. Initial Monitoring Reports:

According to the State's procedures, by how many calendar days must the State disseminate initial monitoring reports to local entities?

Note: This item is associated with State Accountability Measure 4Sa(ii) and may pre-populate the State's annual report form.

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Corrective Action, Termination and Reduction of Funding and Assurance Requirements
(Section 678C of the Act)

10.4. Closing Findings:

Are State procedures for addressing eligible entity findings/deficiencies and documenting the closure of findings, included in the State monitoring protocols attached above? Yes No

10.4a. If no describe State procedures for addressing eligible entity findings/deficiencies, and the documenting of the closure of findings.

Not applicable.

10.5. Quality Improvement Plans (QIPs):

How many eligible entities are currently on Quality Improvement Plans?

Note: The QIP information is associated with State Accountability Measures 4Sc.

0

10.6. Reporting of QIPs:

Describe the State's process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the State approving a QIP

Note: This item is associated with State Accountability Measures 4Sa(iii).

If an eligible entity is put on a QIP, the state will copy OCS with the QIP letter and report, thus ensuring notification to OCS within the 30-day timeframe.

10.7. Assurance on Funding Reduction or Termination:

Does the State assure, according to Section 676(b)(8), "that any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b)". Yes No

Note: This response will link with the corresponding assurance under item 14.8.

Policies on Eligible Entity Designation, De-designation, and Re-designation

10.8. Does the State CSBG statute and/or regulations provide for the designation of new eligible entities? Yes No

10.8a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for the designation of new eligible entities.

Please note: There is a glitch in OLDC for this question. If "No" is chosen as the answer for 10.8, this comment box does not appear. 10.8 - NO - Please see the attached process for designation of new eligible entities.

10.9. Does the State CSBG statute and/or regulations provide for de-designation of eligible entities? Yes No

10.9a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for de-designation of eligible entities.

Please note: There is a glitch in OLDC for this question. If "No" is chosen as the answer for 10.9, this comment box does not appear. 10.9 - NO - Please see the attached process for de-designation of eligible entities.

10.10. Does the State CSBG statute and/or regulations specify a process the State CSBG agency must follow to re-designate an existing eligible entity? Yes No

10.10a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for re-designation of existing eligible entities.

Please note: There is a glitch in OLDC for this question. If "No" is chosen as the answer for 10.10, this comment box does not appear. 10.10 - NO - Please see the attached process for re-designation of eligible entities.

Fiscal Controls and Audits and Cooperation Assurance

10.11. Fiscal Controls and Accounting:

Describe how the State's fiscal controls and accounting procedures will a) permit preparation of the SF-425 Federal fiscal reports (FFR) and b) permit the tracing of expenditures adequate to ensure funds have been used appropriately under the block grant, as required by Block Grant regulations applicable to CSBG at 45 CFR 96.30(a).

The Chief Financial Officer mandates fiscal control standards and DEO's Division of Finance and Administration implements procedures to comply with these control standards. The transition of all CSBG funds is done in accordance with state policies that have appropriate checks and balances in the system. A sample of the eligible entities is monitored on-site each year. The state auditor general periodically audits the CSBG program and produces a report. The Department of Financial Services requires all executed agreements to be entered into Florida's Accountability Contract Tracking System. DEO also complies with the Federal Funding Accountability and Transparency Act (FFATA).

10.12. Single Audit Management Decisions:

Describe State procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to

CSBG at 45 CFR Â§75.521. If these procedures are described in the State monitoring protocols attached under item 10.2, indicate the page number. [CLICK HERE FOR LINK TO 45 CFR Â§75.521](#)

Note: This information is associated with State Accountability Measure 4Sd.

Receipt, review and issuance of management decision letters is the responsibility of DEO's Bureau of Financial Management (BFM). Upon receipt of an annual single audit, the audit is reviewed by CSBG grant managers who complete a preliminary review checklist. The completed checklist is returned to BFM. If it is determined that a management letter is required, staff from BFM will work with CSBG state staff to contact the eligible entity regarding the audit issue and any corrective action needed. DEO will issue the management letter requesting a written response from the eligible entity.

10.13. Assurance on Federal Investigations:

Will the State "permit and cooperate with Federal investigations undertaken in accordance with [Section 678D\(a\)](#)" of the CSBG Act, as required by the assurance under [Section 676\(b\)\(7\)](#) of the CSBG Act? Yes No

If this is the first year filling out the automated State Plan, skip the following question.

10.14. Performance Management Adjustment:

How is the State adjusting monitoring procedures in this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

Note: This item is associated with State Accountability Measure 4Sband may pre-populate the State's annual report form.

Florida is not adjusting its monitoring procedures in this state plan. Florida made adjustments to its monitoring procedures during the FFY 2015 and 2016 program years. Feedback from the eligible entities on the new monitoring procedures has been favorable, saving time and resources at both levels, while still conducting full on-site monitoring visits every two years.

Section 11: Eligible Entity Tripartite Board

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)	Form Approved OMB No:0970-0382 Expires:08/31/2016
SECTION 11 Eligible Entity Tripartite Board	
11.1. Which of the following measures are taken to ensure that the State verifies CSBG Eligible Entities are meeting Tripartite Board requirements under Section 676B of the CSBG Act? [Check all that applies and narrative where applicable]	
<input checked="" type="checkbox"/>	Attend Board meetings
<input checked="" type="checkbox"/>	Review copies of Board meeting minutes
<input checked="" type="checkbox"/>	Keep a register of Board vacancies/composition
<input checked="" type="checkbox"/>	Other Review of board member files during on-site reviews and board rosters at the beginning of each grant year
11.2. How often does the State require eligible entities (which are not on TAPs or QIPs) to provide updates (e.g., copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc.) regarding their Tripartite Boards? [Check all that applies and narrative where applicable]	
<input checked="" type="checkbox"/>	Annually
<input type="checkbox"/>	Semiannually
<input type="checkbox"/>	Quarterly
<input type="checkbox"/>	Monthly
<input checked="" type="checkbox"/>	Other As necessary/as meetings are held
11.3. Assurance on Eligible Entity Tripartite Board Representation: Describe how the State will carry out the assurance under Section 676(b)(10) of the CSBG Act that the State will require eligible entities to have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entities' Tripartite Board.	
<i>Note: This response will link with the corresponding assurance, item 14.10.</i>	
CEEs are required to have this policy included in their bylaws, even public CEEs' boards who function in an advisory capacity. The bylaws are reviewed at least every two years during on-site monitoring reviews.	
11.4. Does the State permit public eligible entities to use, as an alternative to a Tripartite Board, "another mechanism specified by the State to assure decision-making and participation by low income individuals in the development, planning, implementation, and evaluation of programs" as allowed under Section 676B(b)(2) of the CSBG Act. <input checked="" type="radio"/> Yes <input type="radio"/> No	
11.4a. If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board.	
Public CEEs receiving less than \$100,000 in their initial grant award are able to choose to have a full tripartite board or another mechanism proposed by the public entity and approved by the state CSBG office. The proposed alternative board structure must ensure decision making and participation by low-income individuals in the development, planning, implementation and evaluation of CSBG-funded activities.	

Section 12: Individual and Community Eligibility Requirements

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
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SECTION 12

Individual and Community Income Eligibility Requirements

12.1. Required Income Eligibility:

What is the income eligibility threshold for services in the State?

[Check one item below.]

125% of the HHS poverty line

% *[Response Option: numeric field]*

12.1a. Describe any State policy and/or procedures for income eligibility, such as treatment of income and family/household composition.

The policy for income eligibility is included in the annual subgrant agreement to all eligible entities. Each entity must certify that each household receiving CSBG funded services is eligible. The sum of all countable income from all household members must be used in determining eligibility. The total gross household income cannot exceed 125 percent of the current Office of Management and Budget Poverty Guidelines. The eligible entity shall use income documentation of all household income sources that is no more than one year old and maintain the documentation in the client file. In the event that the applicant cannot provide income documentation, the eligible entity shall require the applicant to provide a signed self-declaration of income to attest to the applicant's verbal declaration of total household income. This self-declaration must specify the reasons that no current income documentation can be supplied by the applicant and a statement of how the applicant is providing for his/her basic needs. In calculating total gross household income, the eligible entity must use the Sources of Allowable Income to determine what is and is not counted as income. A household is defined as an individual or group of individuals living together as one economic unit.

12.2. Income Eligibility for General/Short-Term Services:

For services with limited in-take procedures (where individual income verification is not possible or practical), how does the State ensure eligible entities generally verify income eligibility for services? An example of these services is emergency food assistance.

If there is a particular targeted community event or program where individual income verification is not possible, the eligible entity contacts the state for specific permission to use either 1) a truncated self-verification process or 2) ensure DEO that the event is being held in a predominantly low-income area and is being targeted to low-income residents.

12.3. Community-targeted Services:

For services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations), how does the State ensure eligible entities' services target and benefit low-income communities?

The community targeted should be identified in the eligible entity's community needs assessment as a low-income community.

Section 13: Results Oriented Management and Accountability (ROMA) System

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)	Form Approved OMB No: 0970-0382 Expires:08/31/2016
SECTION 13 Results Oriented Management and Accountability (ROMA) System	
13.1. ROMA Participation: In which performance measurement system will the State and all eligible entities participate, as required by Section 678E(a) of the CSBG Act and the assurance under Section 676(b)(12) of the CSBG Act?	
<i>Note: This response will also link to the corresponding assurance, Item 14.12.</i>	
<input checked="" type="checkbox"/> The Results Oriented Management and Accountability (ROMA) System	
<input type="checkbox"/> Another performance management system that meets the requirements of Section 678E(b) of the CSBG Act	
<input type="checkbox"/> An alternative system for measuring performance and results.	
13.1a. If ROMA was selected in Item 13.1, attach and/or describe the State's written policies, procedures, or guidance documents on ROMA.	
The CSBG eligible entities in Florida have been implementing the principles and practices of the Results Oriented Management and Accountability System (ROMA) since October 1997. In developing annual Community Action Plans, all eligible entities are required to incorporate the principles and practices of ROMA in relation to measuring performance and results in promoting self-sufficiency, family stability and community revitalization. The plan must be based on the most recent community needs assessment and should include information on mission statements, goals, objectives, community engagement, linkages and ROMA implementation. Since 2003, DEO has required its eligible entities to submit an annual work plan and quarterly report that mirrors the annual survey provided to HHS. In this way, eligible entities remain close to their stated goals and can quickly determine if adjustments need to be made based on need, changes in demand or changes in funding availability. In addition, Florida now has 11 ROMA Certified Trainers, including its first ROMA Certified Trainer in the state office. Florida has 13 Certified Community Action Professionals (CCAPs) across the state, including its first CCAP at the state office. Each CEE is also required to submit a completed Community Action Plan based on its most recent community needs assessment, and will include information on mission statements, goals, objectives, community engagement, linkages, implementation of ROMA, etc.	
13.1b. If ROMA was not selected in Item 13.1, describe the system the State will use for performance measurement. [Narrative, 2500 characters]	
[Empty space for narrative response]	
13.2. Indicate and describe the outcome measures the State will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under Section 676(b)(12) of the CSBG Act?	
<i>Note: This response will also link to the corresponding assurance, Item 14.12.</i>	
<input checked="" type="checkbox"/> CSBG National Performance Indicators (NPIs)	
<input type="checkbox"/> NPIs and others	
<input type="checkbox"/> Others	
[Empty space for response]	
13.3. How does the State support the eligible entities in using the ROMA system (or alternative performance measurement system)?	
<i>Note: The activities described under Item 13.3 may include activities... listed in "Section 8: State Training and Technical Assistance." If so, mention briefly, and/or cross-reference as needed. This response will also link to the corresponding assurance, item 14.12.</i>	
As required by Public Law 97-35, as amended, all eligible entities must submit their completed Florida Community Action Plan which includes information on their most recent community needs assessment, succession planning, mission statement, board policies, community engagement, customer satisfaction, etc. The plan promotes the use of ROMA, assists with the aggregation of CSBG data, improves our ability to tell the story of community action's impact of funds, assists the state in evaluating the effectiveness and efficiency of CSBG activities and helps the state focus the work on client outcomes instead of program activities alone. The Florida Community Action Plan template will promote the use of ROMA, assist with the aggregation of CSBG data, improve our ability to tell the story of community action's impact of funds, assist us in evaluating the effectiveness and efficiency of our activities and focus our work on client outcomes instead of program activities at the national level.	
13.4. Eligible Entity Use of Data: How is the State validating that the eligible entities are using data to improve service delivery?	
<i>Note: This response will also link to the corresponding assurance, Item 14.12.</i>	
During the on-site review, DEO staff review the eligible entities' quarterly and annual reports which include the work plan and performance data. Targeting is reviewed and discussed with staff during the on-site review. In addition, during the review of the annual Information System Survey, state staff routinely point out deviations from targeted goals and objectives, and ensure services and targeting are improved for the next program year.	
Community Action Plans and Needs Assessments	
13.5. Describe how the State will secure a Community Action Plan from each eligible entity, as a condition of receipt of CSBG funding by each entity, as required by Section 676(b)(11) of the CSBG Act.	
<i>Note: this response will link to the corresponding assurance, Item 14.11.</i>	
Each eligible entity is required to submit the CSBG Workplan as part of their application funding package that ties to their annual Community Action Plan and needs assessment.	
13.6. State Assurance: Describe how the State will assure that each eligible entity includes a community needs assessment for the community served (which may be	

coordinated with community needs assessments conducted by other programs) in each entity's Community Action Plan, as required by [Section 676\(b\)\(11\) of the CSBG Act](#).

Note: this response will link to the corresponding assurance, Item 14.11.

The Community Action Plan and the Organizational Standards include sections that require information to be entered from the community needs assessments. These documents are due annually from each eligible entity as a condition of awarding funds.

Section 14: CSBG Programmatic Assurances and Information Narrative

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)**

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SECTION 14 CSBG Programmatic Assurances and Information Narrative (Section 676(b) of the CSBG Act)

14.1 Use of Funds Supporting Local Activities

CSBG Services

14.1a. 676(b)(1)(A): Describe how the State will assure "that funds made available through grant or allotment will be used -

(A) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under title IV of the Social Security Act, homeless families and individuals, migrant or seasonal farm workers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals--

- (i) to remove obstacles and solve problems that block the achievement of self sufficiency (particularly for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);
- (ii) to secure and retain meaningful employment;
- (iii) to attain an adequate education with particular attention toward improving literacy skills of the low-income families in the community, which may include family literacy initiatives;
- (iv) to make better use of available income;
- (v) to obtain and maintain adequate housing and a suitable living environment;
- (vi) to obtain emergency assistance through loans, grants, or other means to meet immediate and urgent individual and family needs;
- (vii) to achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to -
 - (I) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and
 - (II) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

DEO specifies the above assurance in the contract award agreement. All Community Action Plans, applications and work plans are reviewed and approved to ensure that all proposed activities support these assurances. Low-income families and individuals will be provided with education and employment enhancement benefit opportunities which may include tuition, fees, books, transportation and child care, in addition to emergency assistance benefits which will assist them in overcoming obstacles to achieve self-sufficiency.

Needs of Youth

14.1b. 676(b)(1)(B) Describe how the State will assure "that funds made available through grant or allotment will be used -

- (B) to address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as--
- (i) programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and
 - (ii) after-school child care programs;

DEO specifies the above assurance in the contract award agreement, allowing the CSBG funds to be used for food and nutrition programs for children, after-school activities and summer youth camp programs, as well as providing additional administrative dollars for eligible entities that operate a Head Start program.

Coordination of Other Programs

14.1c. 676(b)(1)(C) Describe how the State will assure "that funds made available through grant or allotment will be used -

(C) to make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including State welfare reform efforts)

DEO specifies the above assurances in the contract award agreement and requires all eligible entities to complete Goal 4 in their annual CSBG workplan, which is the National Performance Indicator for partnerships. DEO monitors each entity's partnership and coordination efforts as part of its monitoring protocol, in addition to the review of partnership efforts as evidenced through the Organizational Standards.

State Use of Discretionary Funds
14.2 676(b)(2) Describe "how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in section 675C(b) in accordance with this subtitle, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of this subtitle."
<i>Note: The State describes this assurance under "State Use of Funds: Remainder/Discretionary," items 7.9 and 7.10</i>
Eligible Entity Service Delivery, Coordination, and Innovation
14.3. 676(b)(3) "Based on information provided by eligible entities in the State, a description of..."
14.3a. 676(b)(3)(A) Describe "the service delivery system, for services provided or coordinated with funds made available through grants made under 675C(a), targeted to low-income individuals and families in communities within the State;
DEO awards funding for CSBG services to 27 eligible entities. These include nonprofits, local governments and one farm worker organization. As part of their grant award, eligible entities must develop a work plan that reflects their goals and anticipated outcomes consistent with the National Performance Indicators.
Eligible Entity Linkages - Approach to Filling Service Gaps
14.3b. 676(b)(3)(B) Describe "how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and followup consultations."
<i>Note: The State describes this assurance in the State Linkages and Communication section, item 9.3b.</i>
Coordination of Eligible Entity Allocation 90 Percent Funds with Public/Private Resources
14.3c. 676(b)(3)(C) Describe how funds made available through grants made under 675C(a) will be coordinated with other public and private resources."
<i>Note: The State describes this assurance in the State Linkages and Communication section, item 9.7.</i>
Eligible Entity Innovative Community and Neighborhood Initiatives, Including Fatherhood/Parental Responsibility
14.3d. 676(b)(3)(D) Describe "how the local entity will use the funds [made available under Section 675C(a)] to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging parenting."
<i>Note: The description above is about eligible entity use of 90 percent funds to support these initiatives. States may also support these types of activities at the local level using State remainder/discretionary funds, allowable under Section 675C(b)(1)(F). In this State Plan, the State indicates funds allocated for these activities under item 7.9(f).</i>
All eligible entities are required to develop and implement a Family Self Sufficiency Program (FSSP). The FSSP represents a community- and neighborhood-based approach to the organization and delivery of locally available social services to help eligible families become self-reliant and independent of all forms of public assistance. The program is designed to identify the needs of participating families and to deliver a comprehensive and coordinated set of services to facilitate the participant's efforts to achieve and maintain self-sufficiency.
Eligible Entity Emergency Food and Nutrition Services
14.4. 676(b)(4) Describe how the State will assure "that eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals."
DEO specifies that emergency food and nutrition are eligible activities in the grant award agreement. Additionally, eligible entities are permitted to use CSBG funds to support the administration of other programs such as USDA commodity distribution and meal provision for children and the elderly.
State and Eligible Entity Coordination/linkages and Workforce Innovation and Opportunity Act Employment and Training Activities
14.5. 676(b)(5) Describe how the State will assure "that the State and eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services, and [describe] how the State and the eligible entities will coordinate the provision of employment and training activities, as defined in section 3 of the Workforce Innovation and Opportunity Act, in the State and in communities with entities providing activities through statewide and local workforce development systems under such Act."
<i>Note: The State describes this assurance in the State Linkages and Communication section, items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b.</i>
State Coordination/Linkages and Low-income Home Energy Assistance
14.6. 676(b)(6) Provide "an assurance that the State will ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low income home energy assistance) are conducted in such community."
<i>Note: The State describes this assurance in the State Linkages and Communication section, items 9.2 and 9.5.</i>
Federal Investigations
14.7. 676(b)(7) Provide "an assurance that the State will permit and cooperate with Federal investigations undertaken in accordance with section 678D."
<i>Note: The State addresses this assurance in the Fiscal Controls and Monitoring section, item 10.13.</i>

Funding Reduction or Termination

14.8. 676(b)(8) Provide "an assurance that any eligible entity in the State that received funding in the previous fiscal year through a community services block grant made under this subtitle will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in section 678C(b)."

Note: The State addresses this assurance in the Fiscal Controls and Monitoring section, item 10.7.

Coordination with Faith-based Organizations, Charitable Groups, Community Organizations

14.9. 676(b)(9) Describe how the State will assure "that the State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations."

Note: The State describes this assurance in the State Linkages and Communication section, item 9.6.

Eligible Entity Tripartite Board Representation

14.10. 676(b)(10) Describe how "the State will require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation."

Note: The State describes this assurance in the Eligible Entity Tripartite Board section, 11.3.

Eligible Entity Community Action Plans and Community Needs Assessments

14.11. 676(b)(11) Provide "an assurance that the State will secure from each eligible entity in the services block grant made under this subtitle for a program, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs."

Note: The State describes this assurance in the ROMA section, items 13.5 and 13.6.

State and Eligible Entity Performance Measurement: ROMA or Alternate system

14.12. 676(b)(12) Provide "an assurance that the State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to 678E(b), or an alternative system for measuring performance and results that meets the requirements of that section, and [describe] outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization."

Note: The State describes this assurance in the ROMA section, items 13.1, 13.2, 13.3, and 13.4.

Validation for CSBG Eligible Entity Programmatic Narrative Sections

14.13. 676(b)(13) Provide "information describing how the State will carry out the assurances described in this section."

Note: The State provides information for each of the assurances directly in section 14 or in corresponding items throughout the State Plan, which are included as hyperlinks in section 14.



By checking this box, the State CSBG authorized official is certifying the assurances set out above.

Section 15: Federal Certifications

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
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SECTION 15 Federal Certifications

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

The box after each certification must be checked by the State CSBG authorized official.

15.1. Lobbying

After assurance select a check box:



By checking this box, the State CSBG authorized official is providing the certification set out above.

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645 (a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)

 1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.

 2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

 3. For grantees other than individuals, Alternate I applies.

 4. For grantees who are individuals, Alternate II applies.

 5. Workplaces under grants, for grantees other than individuals, need to be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.

 6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).

 7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).

 8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

Controlled substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);.

Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

Criminal drug statute means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their

impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

The grantee certifies that it will or will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
 - (b) Establishing an ongoing drug-free awareness program to inform employees about - -
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
 - (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
 - (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will - -
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
 - (e) Notifying the agency in writing, within 10 calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
 - (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - -
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
 - (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).
- (B) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check if there are workplaces on file that are not identified here.

Alternate II. (Grantees Who Are Individuals)

(a)The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;

(b)If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

[55 FR 21690, 21702, May 25, 1990]

15.2. Drug-Free Workplace Requirements

After assurance select a check box:



By checking this box, the State CSBG authorized official is providing the certification set out above.

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - -
Primary Covered Transactions

Instructions for Certification

 1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

 2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

 3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

 4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

 5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

 6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded

from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

 7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusive-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions

 8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

 9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

 10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - - Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - -

Lower Tier Covered Transactions

Instructions for Certification

 1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below

 2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other

 3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.

 4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

 5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

 6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

 7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

 8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

 9. Except for transactions authorized under paragraph five of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

15.3. Debarment

After assurance select a check box:



By checking this box, the State CSBG authorized official is providing the certification set out above.

CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

Public Law 103227, Part C Environmental Tobacco Smoke, also known as the Pro Children Act of 1994, requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity by signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act.

The applicant/grantee further agrees that it will require the language of this certification be included in any subawards which contain provisions for the children's services and that all subgrantees shall certify accordingly.

15.4. Environmental Tobacco Smoke

After assurance select a check box:



By checking this box, the State CSBG authorized official is providing the certification set out above.

THE PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13)

Public reporting burden for this collection of information is estimated to average 10 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.